

Service Level Agreement

Between

The Environmental Management Consolidated Business Center (EMCBC)

And the

Deputy Assistant Secretary (DAS) for Acquisition and Contract Management (EM-80)

The attached document provides the roles and responsibilities, authorities, and working relationships between the EMCBC and the Deputy Assistant Secretary for Acquisition and Contract Management (EM-80). This Service Level Agreement shall remain in effect until such time as it is amended by the EMCBC Director and EM-80.

Approved:

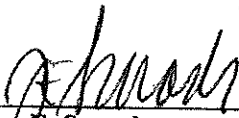


For

Jack R. Craig
Director, EMCBC

7/23/2010

Date



John E. Surash
Deputy Assistant Secretary
Acquisition and Contract Management

7/23/2010

Date

**The Service Level Agreement
Between
Environmental Management Consolidated Business Center
And the
Deputy Assistant Secretary (DAS) for Acquisition and Contract Management (EM-80)**

Introduction

The Department of Energy's (DOE) headquarters, operations, and field offices execute activities in support of the missions assigned to the Department. This includes the mission assigned to the Office of Environmental Management (EM), which oversees projects that involve environmental cleanup and restoration programs at field sites where nuclear weapon production took place.

The EM Deputy Assistant Secretary (DAS) for Acquisition and Contract Management, EM-80, operates the DOE EM Acquisition Center. The Acquisition Center is an integrated headquarters business system that supports operations and field offices in managing their major EM acquisitions efficiently and effectively through standardized and repeatable business processes.

In the field, EM uses a decentralized approach to acquisition and contract management, with contracting offices at field sites located throughout the United States. The contracting office at the Environmental Management Consolidated Business Center (EMCBC) in Cincinnati, Ohio, provides support to headquarters and other EM operations and field offices. The EMCBC mission is to provide centralized business support services while freeing headquarters and field resources to focus on other mission requirements.

This service level agreement establishes the business and support functions supplied by the EMCBC to EM-80. Through this agreement, the EMCBC will:

- Provide continuous, stable business support services to EM-80;
- Assure continuity of essential services in specific areas needed by EM-80 to execute EM mission and achieve major project schedule milestones through closure or project completion;
- Achieve economies of scale through standardization and streamlined operations;

Nothing in this agreement should be construed in a manner as to supersede the roles and responsibilities of any DOE Headquarters organization. In the event of conflicting terms, existing Headquarters policies and procedures take precedence over this agreement.

Head of Contracting Activity (HCA)

The Director, DOE Office of Procurement and Assistance Management, delegated HCA authorities to the Office of Environmental Management on November 15, 2007. In turn, EM delegated enumerated HCA authorities to the EMCBC, in accordance with the memoranda Surash to Craig, "Delegation of Authority and Request for Nomination", December 4, 2007, and

Surash to Holland, "EM HCA Implementation", December 4, 2007 with the following subsequent revisions:

- Surash to Craig, "Implementation of Head of Contracting Activity Delegation Requirements" March 13, 2008
- Surash to Holland, "Issuance of Updated Environmental Management Head of Contracting Activity (EM HCA) Delegation Thresholds", October 6, 2008
- Surash to Holland, "Clarification to Issuance of Updated Environmental Management Head of Contracting Activity (EM HCA) Delegation Thresholds", April 16, 2010

The DOE EM HCA Directive 1.3, "EM Acquisition Center Concept of Operations (CONOPs)" (attached) is a living document that describes the EM-80 Acquisition Center and details the roles and responsibilities of the various players in the acquisition life cycle. Specific details on the level of support provided to EM-80 by the EMCBC are documented in the subject directive. General details of support provided by the EMCBC to EM-80 are depicted in this Service Level Agreement.

Operational Strategy

The EM-80 Acquisition Center approach applies to all aspects of the acquisition life cycle, broadly defined as four phases:

- Acquisition Initiation
- Acquisition Planning
- Source Selection
- Contract Management

The EMCBC will provide business support services to EM-80 in support of the EM Acquisition Center as requested for each of the acquisition phases, using a strategic operational model that includes the following attributes:

- Stable business support for a variety of customers with differing project mission requirements and differing business support priorities;
- Combined use of federal employees and support service contractors (as required) to support customers;
- Optimization of FTEs between the EMCBC and EM-80;
- Ability to expand EMCBC operations to accommodate additional business or technical support services provided to its client sites;
- A travel budget sufficient to support planned and unscheduled client site visit requirements.

Support Approach

The creation of the EMCBC has consolidated the EM business support responsibility from selected field offices to the EMCBC. In addition, EMCBC will provide business support to include:

- Contracting/Procurement
- Financial Management (Program/Project Management, Planning and Controls)

- Cost Estimating/Analysis
- Legal Services
- Logistics

Business Services Consolidation (BSC) Process

Overall BSC responsibility will reside with the EMCBC Director. The Director will delegate responsibility for the BSC process to the EMCBC Assistant Directors. The Assistant Directors (or other EMCBC employee delegated this responsibility by the EMCBC Director) will serve as the EMCBC site BSC liaisons to provide a single focal point at the EMCBC dedicated to the smooth transition activities for the business services within their functional responsibility areas. The assistant directors, or their delegated individuals, will have three primary responsibilities.

- Activating their function within the EMCBC;
- Ensuring that all BSC actions for EM-80 are accomplished in a timely manner to avoid adverse impact to EM-80's primary mission responsibilities;
- Concurrently performing support services to clients already relying on the EMCBC.

EMCBC Office of Contracting

The mission of the Office of Contracting is to acquire, manage, and direct the procurement of supplies and services required to support the EMCBC client sites and the EM Acquisition Center. The Assistant Director, Office of Contracting will act as a business advisor to the EMCBC Director and ensure a high level of support is provided to its clients by the EMCBC contracting staff. The Assistant Director will accomplish the mission with a dedicated and professional staff of contracting and other specialists.

The EMCBC Office of Contracting will consolidate and streamline common contracting support activities of its clients to maximize utilization of resources whenever possible.

The Acquisition and Assistance Branches will provide pre-award support primarily to EM-80 and EM client sites through the Acquisition Initiation Phase, the Acquisition Planning Phase, and the Source Selection Phase. Contracting professionals will direct, plan, and execute site and Headquarter's pre-award requirements through acquisition planning, solicitation, and award functions.

The Contract Management Branch contracting professionals will provide post-award support to EM-80 at the Contract Management Phase. The Contract Management Branch will provide contract administration, incentive and award fee determination, and contract closeout. It is contemplated that most contracts awarded by the EM Acquisition Center will be administered by the effected Field Office; however, the Contract Management Branch will provide contract management services to EM-80 on an as needed basis.

The Review Team will provide an independent review function for the EMCBC, PPPO, and CBFO and will provide support to the EM Acquisition Center as requested. The Review Team will also provide assistance as requested by EM-80 in conducting special emphasis studies, independent reviews, evaluations and analyses.

The Contractor Human Resources Management (CHRM) Team will provide support to EM-80 on an as requested basis. The CHRM Team manages the entire realm of EMCBC contractor human resources issues. These issues include actuarial assessment of contractor pension, medical and other post-retirement benefit programs, contractor employee welfare programs, contractor training, contractor workforce transition programs and contractor labor issues in accordance with DOE Order 351.1. The team has an active partnering relationship with Branches A and B and the Contract Management Branch throughout the entire contracting process from solicitation to negotiation to award, administration and closeout.

The Contract Cost and Pricing Team will provide cost and price analysis for EM-80 as requested regarding pre-award proposals, post-award proposals, Requests for Equitable Adjustments, and fee actions such as draft fee plans, payments of Performance Based Incentives, and determinations of award/incentive fee earned. The team will support EM Acquisition Center Integrated Projects Teams as requested in conducting cost/price analysis and in establishing pre-negotiation and final negotiation objectives.

The Policy and Administrative Support Team performs activities related to developing and maintaining EMCBC plans, policies, and procedures applicable to the EMCBC, PPPO, and CBFO procurement and contract management process. The team will provide support as requested by the EM Acquisition Center in developing operating procedures and guidelines related to the procurement and administrative management of the client sites to ensure procurement actions comply with Federal and DOE Headquarters regulatory and policy requirements. Additionally, as requested, the team will administer the EMCBC Small Business Program; manage the Balanced Scorecard System; provide systems support including FPDS-NG and STRIPES; manage the EMCBC Purchase Card Program, coordinate HCA approval of Contracting Officer Warrants and Contracting Officers' Representative appointments; and manage the Acquisition Career Development Program in accordance with DOE Order 361.1B.

In general, the EMCBC Office of Contracting will provide support to EMAC IPTs through staffing of Contracting Officers, Contract Specialists, Contractor Human Resource Specialists, website development and hosting, and Cost/Price Analysts. Provision of staffing support will be on an as requested basis.

EMCBC Office of Financial Management

EMCBC Office of Financial Management is a multiple-function, multiple-site office. A focus of the EMCBC effort is to reduce the cost of financial management by streamlining inefficient processes and/or consolidating these activities. The Financial Management Services will use a combination of EMCBC-based and client-site based personnel to provide support to the client sites and the EMCBC. The following divisions will employ primarily center-based personnel:

- Budget
- Project Management, Planning and Controls
- Finance and Review

The mission of financial management within the EMCBC is to serve as the focal point for its DOE/EM clients on financial matters by providing direction, planning, and oversight for financial policy and procedures, financial reporting, the management control program, accounting systems, and audit liaison and follow-up.

The Budget Division may provide as requested, support to EM-80 through budget execution, administrative control of funds, and the administration of planning and budgeting systems. Execution activities may include funds certification, commitment and obligation processing, financial analysis, obligation and cost tracking, financial data reconciliation, funding determinations and recommendations.

The Project Management, Planning and Controls Division may provide as requested support to EM-80 through the consistent interpretation and implementation of DOE project management/execution policies, Orders (e.g., DOE Order 413.3A) and guidance across the DOE Complex. The Division Director leads a staff of individuals with subject matter expertise in the areas of project management, scheduling, engineering, business administration, accounting and marketing.

The Finance and Review Division may provide as requested, support to EM-80 through provision of financial reporting and analysis support as required, and supporting EM-80 travel, training, and Permanent Change of Station obligations as needed. In addition, the team will provide financial review support to EM-80, as requested, to promote the effective, efficient, and economic operation of EM-80 programs through financial reviews, audit liaison activities, and management control assessments.

EMCBC Cost Estimating & Analysis Center

The EM Cost Quality Program Manager functions as a member of the EMCBC staff under the general management of the EMCBC Director. The EM Cost Estimating & Analysis (CE&A) Center's EM Corporate Sponsor is the Deputy Assistant Secretary for Program Planning and Budget (EM-60). The EM CE&A Center will utilize a combination of Federal employees and contractor-provided cost engineering services to meet EM's cost and schedule estimating needs complex-wide.

The mission of the EM CE&A Program is to:

- Establish standards, policy, and procedures to ensure that EM cost and schedule estimates are accurate, traceable, and reliable.
- Provide Independent Cost Estimating (ICE) and Independent Cost Analysis (ICA) capability to support EM acquisition and project management program requirements.
- Provide independent cost estimating and analysis support to EM management, the EM Acquisition Advisory Board (EMAAB), and EM budget formulation processes.
- Lead the development and management of cost and schedule databases, methodologies, and tools needed by EM to improve and standardize its cost estimating and analysis capabilities.

The EM CE&A Center will provide cost and schedule estimating services to EM-80, EM-53, and EMCBC's Office of Contracting.

The core functions of the EM CE&A Center include:

- Acquisition Support (EM-80 & EMCBC Office of Contracting)
- Performing life-cycle cost analyses
- Preparing Government Estimates
- Developing Contract-specific CE&A requirements
- Perform reasonableness reviews of contractor-submitted proposals
- Perform technical evaluations of contractor-submitted proposals
- Provide technical support to Source Evaluation Boards or C.O.
- Contract Close-out ~ capture actual project costs
- Project Planning & Execution Support (EM Small Site Projects, CBFO, PPPO, and EM Field Offices)
- Support FPDs and serve on Integrated Project Teams
- Provide direction/oversight for contractor-developed cost estimates
- Prepare Independent Cost Estimates (ICE)
- Perform Independent Cost Reviews (ICR)
- Support risk management planning activities
- Establish project-specific CE&A requirements (tailoring)
- Support performance evaluation activities ~ trend & cost variance analysis
- Project Management Support (EM-53)
- Serve as Subject Matter Experts (SME) on Independent Project Review (IPR) teams
- Provide Independent Cost Estimating (ICE) and Independent Cost Analysis (ICA) capability to support EM project management program requirements.

EMCBC Office of Legal Services

The Assistant Director, Legal Services (Chief Counsel) functions as a member of the EMCBC senior staff under the supervision of the EMCBC Director. The Assistant Director, Legal Services also has a functional reporting relationship to the HQ Office of General Counsel. The Office of Legal Services' (OLS) mission is to support EMCBC customer sites legal requirements, field acquisition activities, and other ongoing assigned EM procurement actions. The OLS will provide field level procurement counsel in support of the EM Acquisition Center efforts in Acquisition Planning, Acquisition Initiation, Source Selection and Contract Management. In this role, OLS will coordinate with HQ Office of General Counsel, counsels from other Department of Energy offices, and other relevant Federal agencies, as necessary to accomplish mission requirements. Direct legal support to EM-80 will be provided by the HQ Office of Counsel.

EMCBC Office of Logistics Management

The Personal Property Team will support and assist in the conduct of required and for-cause physical inventories of personal property, and for accountability of assets under the management and control of the Project/Site office in accordance with the Federal Property Management Regulations. This also includes management of Federal property assigned to the Project/Site

office which may involve activities as: acquisition planning; identification and markings; property administration; automated inventory records system; physical inventories; reporting requirements; and, disposition and reutilization.

The Personal Property Team will perform contract administration services for personal property in the possession of contractors which includes activities such as: acquisition planning; post-award conferences; contract property transition; initial and periodic property management system reviews; property administration and oversight; reporting requirements; property reutilization; contract closeouts and terminations; and, site closure.

The Personal Property Team will provide vehicle fleet management support of fleet operations and maintenances; initial authorizations and fleet capacity changes; vehicle disposition/replacement; and, reporting requirements.

The Real Property Team will perform Real Estate acquisitions and other life cycle management activities of real property by a certified realty specialist. Real Property management activities include acquisition, management, utilization, accounting, reporting and disposal of real property. Real estate actions must be reviewed and approved by a DOE Certified Realty Specialist (CRS) before executing the action. The Real Estate team will provide CRS support for all real estate management functions identified above on an as required or requested basis.

The EMCBC Environmental Safety Health & Quality Team provides comprehensive and high quality services and support to the EMCBC, small and closure sites, and the DOE Complex. The ESH&Q team provides services and support in Regulatory Compliance, Safety Management Systems, Quality Systems, Environmental Management Systems, Contractor Assurance, Technical Support and DOE Oversight Assistance.

The Performance Assurance Team provides comprehensive and high quality service and support to the EMCBC, small and closure sites, and the DOE Complex. The Performance Assurance team will provide services and support in the areas of Personnel and Physical Security, Emergency Management, Waste Management, Transportation Management and Records Management. Service and Support will be provided in concert with Contractor Assurance and DOE Oversight requirements.

The Classification Office Team provides DOE support, document reviews, and contractor oversight activities related to classification and declassification related tasks, expertise in the review of information owned by the EMCBC and Legacy Management (under a MOU) for classified and sensitive information, a technical consulting resource to the DOE complex in the field of nuclear weapons design, fabrication and attendant disciplines, assist HQ and other sites with investigations and reviews, sensitive document and record review/handling, classified scanning operations, and records disposition.

Attachment:

HCA Directive 1.3, EM Acquisition Center Concept of Operation



Department of Energy

Washington, DC 20585

February 6, 2008

Attachment

MEMORANDUM FOR DISTRIBUTION

FROM: J. E. SURASH *J. E. Surash*
DEPUTY ASSISTANT SECRETARY
FOR ACQUISITION AND PROJECT MANAGEMENT

SUBJECT: HCA Directive 1.3, EM Acquisition Center Concept of Operations

I am providing the EM Acquisition Center Concept of Operations (CONOPs) for your use in planning and administering major EM acquisitions. The Acquisition Center CONOPs details the high-level vision of the acquisition life-cycle, roles and responsibilities, and oversight. Further policy and guidance will be forthcoming to fully implement the CONOPs.

The point of contact for this HCA Directive is Dr. Mindy Connolly, an Acquisition Strategy Specialist in the Office of Procurement Planning (EM-51). Her number is (202) 586-2171. If you have other questions regarding the EM Acquisition Center or the CONOPs, please contact me at (202) 586-6382.

Attachment

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**U. S. DEPARTMENT OF ENERGY (DOE)
OFFICE OF ENVIRONMENTAL MANAGEMENT (EM)
EM Head of Contracting Activity Directive**

Title: EM Acquisition Center Concept of Operations (CONOPs)

Directive: EM HCA 13

Revision Number: 0

Effective Date: February 1, 2008



**Department of Energy
Office of Environmental Management**

**Concept of Operations
For the Acquisition Center**



EM Environmental Management

safety ✦ performance ✦ cleanup ✦ closure

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RECORD OF CHANGES

Instructions:

DISCARD EXISTING SHEET AND INSERT A NEW RECORD OF DOCUMENT CHANGES.

This is an inventory of all changes made to this document. Each change is consecutively numbered, includes a description of the change, the date of the change, and the page number where the change occurred.

Change Number	Description of Change	Date of Change	Page Number
1	EXAMPLE DESCRIPTION: Clarified the time of transfer of contract files from the PCO to the ACO to occur "within 48 hours after contract award, the end of the protest period, or the resolution of any protests, whichever is later." Deleted "from EMCBC" to account for contracting activities for site offices which report to EMCBC.	9/10/07	13

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1. INTRODUCTION

1.1 Background

The Department of Energy's (DOE) operations and field offices, located outside of the Washington, D.C. area, oversee activities in support of the missions assigned to the Department. This includes the mission assigned to the Office of Environmental Management (EM), which oversees projects that involve environmental cleanup and restoration programs at field sites where there has been nuclear weapons production. For fiscal year 2007, EM has approximately 80 projects with a total project life-cycle cost of approximately \$225 billion, with approximately 95 percent of that amount slated for contracts executed at the field sites.

EM uses a decentralized approach to acquisition and contract management, with contracting offices at field sites located throughout the United States. EM contracting offices are located at the operations and field offices that EM manages, namely:

- Richland Operations Office,
- Office of River Protection,
- Savannah River Operations Office, and
- EM Consolidated Business Center (EMCBC).

The contracting office at EMCBC in Cincinnati, Ohio, provides support to other EM sites, e.g., West Valley. EM also supports acquisition and contract management activities at sites directly managed by other DOE organizations, including the Office of Science, the Office of Nuclear Energy, and the National Nuclear Security Administration, which have their own contracting offices. Table 1 depicts the distribution of contracting activity for EM projects at the various EM contracting

**Table 1. Contract Actions and Obligations During Selected Fiscal Years
Reported at Individual Contracting Offices**

Contracting Office	FY 2006		FY 2005		FY 2004	
	Number of Actions	Obligations (Millions)	Number of Actions	Obligations (Millions)	Number of Actions	Obligations (Millions)
Headquarters Procurement Services	41	\$66.7	57	\$117.5	50	\$239.1
Savannah River Operations	241	\$1,787.3	428	\$1,547.9	272	\$1,673.3
Ohio Field Office	23	\$158.3	101	\$614.3	128	\$545.9
Carlsbad Field Office	58	\$167.5	60	\$178.7	52	\$159.6
Rocky Flats Office	10	\$417.2	31	\$654.0	36	\$648.2
EMCBC	267	\$673	67	\$38.4	8	\$161.0

Contracting Office	FY 2006		FY 2005		FY 2004	
	Number of Actions	Obligations (Millions)	Number of Actions	Obligations (Millions)	Number of Actions	Obligations (Millions)
Idaho Operations	289	\$1,091.9	240	\$1,129.7	200	\$907.8
Portsmouth/ Paducah Office	31	\$176.6	11	\$133.9	1	\$1.0
Office of River Protection	107	\$830.3	90	\$1,094.6	68	\$1,022.5
Richland Operations	286	\$868.3	250	\$963.1	203	\$870.7
TOTAL	1353	\$6,237.1	1335	\$6,472.1	1018	\$6,229.1

Sources: Headquarters data - DOE Procurement and Assistance Data System
Data for all other offices - Federal Procurement Data System-Next Generation (FDPS-NG)

1.2 Objectives

This document describes the Concept of Operations for the new DOE EM Acquisition Center, which is an integrated business system that supports operations and field offices in managing their major EM acquisitions efficiently and effectively by using or developing standardized and repeatable business processes. The primary objectives of the Acquisition Center approach are to establish and maintain:

- A cadre of skilled, experienced acquisition personnel to support operations and field managers, on a recurring basis, for major EM acquisition planning and source selection activities;
- A central repository of DOE and EM-specific acquisition procedures, policies, templates, and other information that promotes common practices and workflows and ensures that "best in class" processes are used for planning and executing EM acquisitions;
- Support for Performance-Based Acquisition (PBA) awareness and implementation;
- A well-defined system of governance, with clearly defined roles and responsibilities throughout the acquisition process and with strong ethics and clear communication channels;
- Collaborative acquisition and contract launch strategies to define requirements and mitigate risks by involving key stakeholders during initial kick-off and transition processes that take place from the time the contract is awarded, to the time when the contract administration processes begin;
- A post-award performance monitoring system that assesses relative risk and measures results; and
- Specific post-award tools suggested in the *Partnership for Public Service Private Sector Council Acquisition Innovation Pilot Handbook* (November 2006)

1.3 Scope

The EM Acquisition Center approach applies to major EM acquisitions at EM sites, as well as non-EM sites with an EM mission. However, not all EM acquisitions execute the EM Acquisition Center approach. This is jointly determined on a case-by-case basis by the Field Office Manager and the EM Deputy Assistant Secretary for Acquisition and Project Management (DAS-APM). Decision factors include the budget for the acquisition, the acquisition's complexity and importance to the agency mission, and the availability of DOE personnel and other resources necessary to support the acquisition.

The Acquisition Center approach applies to all aspects of an acquisition's life-cycle, broadly defined as four phases:

- Acquisition Initiation
- Acquisition Planning
- Source Selection
- Contract Management

DOE Order 413.3A, Project Management for the Acquisition of Capital Assets, defines the phases, project management activities, and critical decisions (CDs) which DOE uses to translate broadly stated mission needs into contractor-built facilities, systems, and other products. The DOE *Acquisition Guide* describes the processes for acquiring contractual services to support project management activities, integrating project management and acquisition processes with the federal budget process. Appendix A shows the relationship between the Acquisition Center life-cycle phases and DOE Order 413.3A processes, the federal budget processes, as well as the "as is" and Acquisition Center acquisition processes.

2. ACQUISITION CENTER DESCRIPTION

2.1 Acquisition Center Life-cycle

This section defines the four phases of the Acquisition Center life-cycle used to manage processes and resources for major EM acquisitions. Figure 1 illustrates the sequence of the four life-cycle phases.

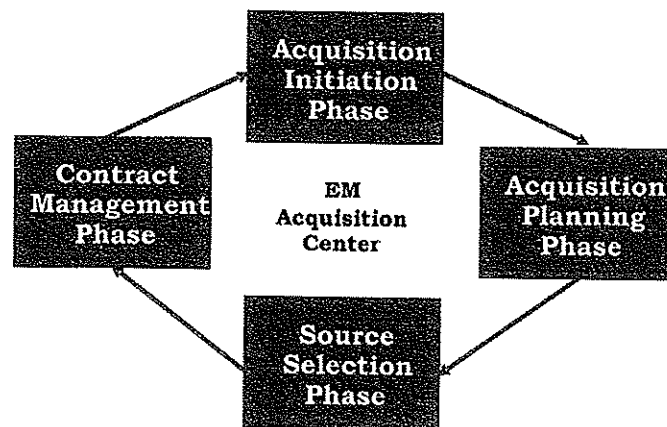


Figure 1
Acquisition Center Life-Cycle

During each phase, management reviews the status according to the entry and exit criteria to determine progress and make decisions about any corrective actions. Appendices B, C, D and E provide Entry and Exit criteria for each of the life-cycle phases.

2.1.1 Acquisition Initiation Phase

The acquisition initiation phase includes on-going activities used to identify and select those EM acquisitions subject to the EM Acquisition Center approach. It also includes event-driven activities that lead to initiating EM Acquisition Center processes.

2.1.1.1 Candidate Acquisitions Identification

Procurement Directors prepare and maintain a ten-year projection of all contemplated major acquisitions for their respective site, including follow-on contracts, and financial assistance actions from the EM budget, as well as other transactions (e.g., sales).

Starting in FY 09, the Procurement Directors forward the ten-year projection to the Office of Procurement Planning (EM-51) Director, under the DAS-APM, 60 days prior to the start of each fiscal year. The Procurement Directors notify the EM-51 Director of any changes to the ten-year projection as soon as possible after they occur.

2.1.1.2 Acquisition Center Selection Process

The EM-51 Director:

- Collects and consolidates information from field sites sufficient to develop and maintain a ten year projection;
- Coordinates with the DOE Office of Procurement and Assistance Management (OPAM) on the specific actions to be submitted for headquarters business clearance approval;
- Identifies any additional actions to be submitted by field offices to the DAS-APM for review;
- Determines general timeframes and availability of resources, in coordination with the Field Office Managers and EMCBC Director, for supporting major acquisitions;
- Publishes a list and overall schedule of major acquisitions to be conducted under the Acquisition Center approach;
- Reviews the list and overall schedule with the Field Office Managers and the DAS-APM; and
- Notifies the Procurement Directors of the acquisitions selected for the Acquisition Center approach. The Procurement Directors manage other acquisitions not selected and staff them with field office personnel.

2.1.1.3 Acquisition Center Initiation Process

EM initiates actions to undertake a major acquisition following approval of:

- Mission Need Statement after DOE Order 413.3A, CD 0 milestone, or
- Acquisition Strategy after CD 1 milestone, if a new acquisition is identified during development of the Acquisition Strategy, or
- Decision to compete a follow-on contract to an existing contract (no later than 36 months prior to contract expiration).

Major acquisitions for non-capital assets, e.g., for transportation or other services follow the same approach as those for capital assets.

At least 30 days before one of the aforementioned events (i.e., CD 0, CD 1, or decision for a follow-on contract), the EM-51 Director drafts a memorandum for the DAS-APM that:

- Requests the Field Office Manager and the EMCBC Director to:
 - Commence acquisition planning activities under the Acquisition Center approach,
 - Identify the pre-award integrated project team (IPT) lead and members, and
 - Define the general timeframe and major acquisition schedule milestones.
- Identifies the Acquisition Planning Manager (APM) assigned to lead the major acquisition through contract award.

The acquisition initiation phase concludes when the DAS-APM sends the memorandum through the EM Chief Operations Officer to the Field Office Manager. See Appendix B for a summary of acquisition initiation phase documentation.

2.1.2 Acquisition Planning Phase

The acquisition planning phase begins once the DAS-APM sends the memorandum through the EM Chief Operating Officer to the Field Office Manager.

2.1.2.1 Integrated Project Team Resource Assignment

Upon receipt of the memorandum, the Field Office Manager:

- Designates the pre-award IPT lead and assigns members for the acquisition, as appropriate, including the Federal Project Director and any headquarters personnel (Note: an acquisition may involve more than one project and Federal Project Director); and
- Monitors status through reports from the APM, resolves resource issues, and approves any changes to schedule milestones.

During the acquisition planning phase, the Federal Project Director ensures that the IPT, as defined in DOE Order 413.3A and DOE Manual 413.3-1, is comprised of representatives from all of the business and technical disciplines (e.g., legal, financial, contracting, safety, environmental health, and others) necessary for the successful execution of the project. IPT activities occur at the field site.

The APM serves as the team lead for the pre-award IPT during the acquisition planning phase. The APM plans the acquisition, identifies and resolves issues, and makes sound and timely decisions. Pre-award IPT members:

- Must have the expertise required for acquisition planning, source selection and contract management phases; and
- Do not normally commit 100% of their time to a pre-award IPT. An individual may be a member of more than one pre-award IPT. However, to meet critical acquisition deadlines, 100% commitment may be required of all IPT members during the acquisition planning phase.

The APM determines the resources needed for a major acquisition. The APM works with the Field Office Manager and the Federal Project Director to ensure timely commitment of the resources to the pre-award IPT. The APM works with the EMCBC Director and the Procurement Director to obtain resources.

The model pre-award IPT includes the following:

- Pre-award IPT lead: APM (headquarters or field);
- Engineers, scientists, analysts, and other technical specialists (field and headquarters);
- Safety, workforce and small business representatives (field and headquarters);

- Contract specialist (field);
- Procurement Analyst (headquarters);
- Procuring Contracting Officer (PCO) (EMCBC);
- Cost-price Analyst (EMCBC);
- Procurement Attorney (EMCBC or field), and
- Additional subject matter experts as relevant to the acquisition, such as property administrators and regulatory advisors.

2.1.2.2 Initial Documentation Preparation

As team lead for the pre-award IPT, the APM, with the assistance of the PCO, initiates the pre-award IPT activities. The APM:

- Ensures that relevant background documentation is collected and made available to the pre-award IPT; and
- Conducts a meeting to establish the objectives of the acquisition, team organizational structure, roles and responsibilities, designated sub-team leads, and the detailed acquisition schedule and milestones. Meeting minutes serve as the record in the contract file.

The pre-award IPT prepares all the acquisition documentation required by the Federal Acquisition Regulation (FAR) and DOE directives, leading up to, and including, the final request for proposal (RFP), the contract management plan, and the source selection plan, which contains the evaluation criteria used in the source selection phase. The major activities generally conducted during the acquisition planning phase are:

- Develop, review and obtain approval of the Acquisition Strategy for CD-1, as well as the Acquisition Strategy for a follow-on contract;
- Prepare and refine the independent cost estimate progressively through the planning phase;
- Conduct and document industry involvement and other market research (including issue request(s) for information (RFI) and conduct one-on-one meetings with industry to obtain information as necessary);
- Develop a statement of work or performance-based work statement;
- Develop pre-award and post-award risks & mitigations register;
- Determine any set-aside(s) for small business and secure Advanced Planning Acquisition Team (APAT) review or waiver;
- Prepare and release a synopsis of the proposed contract action;
- Prepare evaluation criteria;
- Develop and submit the Acquisition Plan,
- Develop a synopsis of major issues in the contract management plan and prepare final draft contract management plan prior to receipt of offerors' proposals;

- Conduct any pre-solicitation conferences and site tours;
- Develop a draft RFP for public release, if necessary, and incorporate industry comments;
- Develop an internal draft and final RFP; and
- Develop a source selection plan.

The sequence and extent of activities depend on the specific acquisition. For example, research may identify an existing indefinite delivery indefinite quantity (IDIQ) contract to satisfy the mission need, whereby the PCO would use ordering procedures provided in FAR 16.505.

2.1.2.3 Procurement Strategy Panel Meetings

To facilitate the involvement of key stakeholders in the procurement strategy decision process, the APM conducts Procurement Strategy Panel (PSP) decision meetings to allow DOE stakeholders to review the proposed procurement strategy. The objective of the PSP is to streamline the decision-making process so the Acquisition Plan and then the RFP is approved and released with minimal delay and rework.

Extensive coordination occurs prior to the PSP decision meeting, particularly to develop a consensus among EM management to support a particular procurement strategy. The PSP has specified meeting rules for topics and structure and uses a briefing format. Written minutes summarize the decisions, actions, and conclusions from the PSP. Approved PSP minutes, with briefing slides, are included in the contract file. Complex information is presented to stakeholders in optional pre-briefs that facilitate making procurement decisions prior to the PSP. PSPs provide an opportunity to address site-specific issues that require interaction between the site manager and the IPT. Multiple PSPs may be required.

During a PSP meeting, the APM (assisted by the PCO, procurement attorney and other key pre-award IPT members) presents a briefing with the following (source selection sensitive) information:

- Summary statement of the need for the item or services to be acquired;
- Contractor human resource management strategy (which is the basis for RFP special clauses);
- Background/recent history of the acquisition and its relationship to other contracts/programs;
- Responsible headquarters and field personnel;
- Statement of objectives;
- Summary of the scope of work/requirements/statement of work/technical approach;
- Major deliverables/description of services;
- Contractor versus government performance;
- Period of performance/delivery schedule, including any options;
- Budget and funding summary by fiscal year;
- Acquisition strategy/business case;

- Contracting alternatives that were considered, including the pros and cons of each;
- Competition/non-competitive issues
- Contract type and supporting rationale;
- Fee/profit/incentive arrangement and supporting rationale;
- Performance-based acquisition considerations;
- How earned value management system (EVMS) requirements are met;
- Project risks and risk management plan;
- Safety and security considerations;
- Market research results regarding competition, prospective offerors, use of existing IDIQ contract, etc.;
- Further Industry Involvement or Market Research planned and purpose;
- Small and small disadvantaged business participation (set-asides, goals, bundling, market surveys, etc.) agreed to in the APAT;
- Government furnished services and items (GFSI) considerations;
- Regulatory and environmental considerations;
- Other considerations required by the FAR, Department of Energy Acquisition Regulation (DEAR) and other DOE directives;
- Unusual/special clauses needed and status
- Contract management plan approach (high-level work breakdown structure matrix showing who is responsible [i.e., contractor or government] supported with a narrative chart);
- Description of efforts to encourage industry participation (one-on-one industry meetings, RFIs, draft statements of work or RFPs for public release, pre-solicitation conferences, etc.);
- Source selection approach (lowest-price technically acceptable, best value, or other) and supporting rationale;
- Procurement schedule;
- Decisions requested at the PSP; and
- Other final decisions needed and decision owner (typically within 3-7 calendar days after the PSP).

2.1.2.4 Source Selection Official and Source Evaluation Board Designation

The EM-51 Director drafts the memorandum with the recommended designation of the Source Selection Official (SSO), which the EM-HCA sends to OPAM no later than 90 days prior to the release of the final RFP. The SSO is usually a deputy assistant secretary, the EMCBC Director or a Field Office Manager. The SSO reviews and concurs with the RFP and approves the source selection plan.

The SSO appoints the Source Evaluation Board (SEB) Chair. The APM is the first choice for the SEB Chair in the absence of a qualified person from the field office who has been a pre-award IPT member.

The SEB Chair reviews the RFP, reviews and concurs with the source selection plan. The SEB Chair also appoints the SEB members, drawing predominantly from the pre-award IPT membership.

2.1.2.5 Final Documentation Completion

The APM assists the Field Office Manager in developing and obtaining approval of the Site Utilization and Management Plan (SUMP). The APM assists the Federal Project Director in developing and obtaining approval of the Acquisition Strategy. For EM acquisitions using the Acquisition Center approach, the APM is responsible for the Acquisition Plan. During the acquisition planning phase, the APM, assisted by the PCO and procurement attorney, is the primary interface with OPAM for resolving issues and comments concerning business clearance and approval. The pre-award IPT procurement attorney is the primary interface with the Office of General Counsel (OGC).

To finalize the acquisition planning documentation submitted for business clearance, the APM institutes an internal quality assurance review process and uses a quality assurance checklist for all procurement documentation. This ensures that documents achieve the highest standards relative to format, consistency, completeness, quality, and presentation. Prior to submission to OPAM for business clearance and approval, the EM-51 Director reviews and comments on documentation developed during the acquisition planning phase.

The APM may request a Procurement Decision Meeting (PDM) with OPAM if business clearance and approval is not provided within the designated date for approval from OPAM. The purpose of the PDM is to resolve any issues with a proposed contractual action. The result is business clearance and approval for the proposed contractual action.

DOE headquarters personnel who have responsibility for the proposed contractual action normally attend the PDM. In addition, key pre-award IPT personnel attend or participate remotely as necessary. The PDM is usually an in-person meeting in Washington, D.C.

The acquisition planning phase concludes when the pre-award IPT completes the draft contract management plan. The draft contract management plan may be prepared after the RFP is issued, but must be completed before the PCO receives offerors' proposals. Therefore, there is a minor overlap between the acquisition planning phase and the subsequent source selection phase activities. See Appendix C for a summary of acquisition planning phase documentation.

2.1.3 Source Selection Phase

The source selection phase begins with issuance of the final RFP. The source selection plan describes the roles, responsibilities, activities and evaluation criteria for the source selection phase.

2.1.3.1 Source Selection Preparation

The major activities generally conducted for source selection preparation are:

- Complete organizational activities (identify additional participants and advisors, conduct initial organizational meetings, etc.);

- Update any open items for the source selection plan;
- Complete conflict of interest(COI)/non-disclosure certifications and resolve related issues;
- Deliver source selection training;
- Secure facilities and equipment and implement methods to safeguard source selection information;
- Conduct pre-proposal conference and site tours, if required;
- Arrange offerors' site visits to perform their due diligence, if required;
- Answer offerors' questions before proposal receipt; and
- Issue RFP amendments, if necessary.

SEB activities take place at the EMCBC, the field office, or a headquarters location. Depending on the location, the EMCBC Assistant Director, the Procurement Director, or EM-51 Director arranges a secure facility, equipment, and resources for the source selection phase.

The PCO works with the EMCBC staff to develop the templates and tools for source selection activities in advance of the receipt of proposals. Source selection activities include logistics, document configuration management and document handling. The EMCBC, the field office, or headquarters provides the procurement support personnel for the source selection facility.

The SEB Chair may appoint advisors to prepare preliminary findings and otherwise assist the ex officio advisors, the SEB, and SEB evaluation teams. Advisors may be government employees or contractors. If the advisors are contractors, the RFP must identify their company and evaluation role. Where requested, advisors offer their evaluation findings to SEB members; however, the decision to use those findings resides entirely with the individual SEB member. Advisors attend team consensus sessions and oral presentations at the discretion of the PCO, the SEB Chair, or where applicable, the evaluation team leader.

Before commencing proposal evaluation, the OPAM and the OGC provide training for the SSO and SEB members and advisors in procurement integrity, the evaluation process and procedures, evaluation factors, and evaluation tools.

The model source selection organization consists of:

- SSO (headquarters, EMCBC or field);
- SEB Chair (APM or field);
- SEB members (subset of pre-award IPT);
- SEB evaluation team leaders and members (field and headquarters);
- Procurement attorney (EMCBC or field);
- SEB procurement support team (PST) (EMCBC, field or headquarters);
- Ex officio advisors (headquarters and/or field); and
- Specialty advisors (government and/or contractor)

2.1.3.2 Proposals Evaluation and Contract Award

The key activities of the source selection phase are evaluation of proposals and contract award. The SEB Chair directs the performance of the overall evaluation process.

The major proposal evaluation activities are:

- Receive, screen, and distribute proposals;
- Verify compliance of proposals with the terms and conditions of the RFP;
- Make a contractor responsibility determination;
- Determine offerors' acceptability;
- Send notification letters to offeror(s) who submitted unacceptable proposals or are excluded parties;
- Conduct initial technical, and cost and price evaluation of acceptable proposals;
- Complete Defense Contract Audit Agency (DCAA) review or audit;
- Conduct technical evaluation of cost to determine cost realism and prepare report;
- Prepare initial SEB and technical evaluation teams report;
- Determine whether to award without discussions;
- Make competitive range determination;
- Send rejection letter to unsuccessful offeror(s) and debrief if requested;
- Prepare discussion questions and materials;
- Issue RFP amendments if necessary;
- Prepare pre-negotiation memorandum and plan;
- Conduct written and/or oral discussions with offeror(s) in competitive range;
- Request proposal revisions;
- Conduct evaluation of revised proposal information;
- Prepare updated discussion questions and materials;
- Conduct written and/or oral discussions with offerors;
- Request final proposal revisions;
- Receive final proposals;
- Prepare discussions chronology report;
- Conduct final technical, and cost and price evaluation of acceptable proposals;
- Update DCAA review or audit if necessary;
- Conduct final technical evaluation of cost to determine cost realism and modify initial report;

- Modify initial SEB and technical evaluation teams report based on final proposal revisions;
- Brief SSO and ex officio advisors;
- Prepare and review draft contract award decision document with SSO;
- Modify contract award decision document and make a selection;
- Prepare final contract documents;
- Prepare anticipated questions and answers/talking points;
- Provide Secretarial and Congressional notifications;
- Inform the selected offeror;
- Perform pre-award administrative actions (Equal Employment Opportunity clearance, Small Business Administration notification of tentative award);
- Award the contract;
- Issue news media release; and
- Debrief unsuccessful offerors, as requested.

The SEB Chair forwards all pertinent reports through the EM-51 Director to OPAM and the SSO and acts as a liaison between the evaluation teams and the ex officio advisors. The ex officio advisors review and comment on the SEB report. The APM serves as an ex officio advisor to the SEB and SSO when designating a qualified person from the field office as SEB Chair.

As in the acquisition planning phase, the APM institutes an internal quality assurance review process and uses a quality assurance checklist for all procurement documentation submitted for business clearance. This ensures that documents achieve the highest standards relative to format, consistency, completeness, quality, and presentation.

As in the acquisition planning phase, the EM-51 Director:

- Reviews and comments on documentation developed during the source selection phase, and
- Briefs the EM HCA prior to submitting documentation to OPAM for business clearance review.

The source selection phase ends when the PCO awards the contract and conducts debriefings for unsuccessful offerors, if requested. See Appendix D for a summary of the source selection phase documentation.

2.1.4 Contract Management Phase

The contract management phase begins when the PCO awards the contract. During the contract management phase, the Field Office Manager, the Federal Project Director(s) and the Administrative Contracting Officer (ACO) lead processes that take place from contract award through contract closeout.

2.1.4.1 Transition

Following contract award, the PCO transitions contract administration to the ACO. The PCO completes the transfer of contract files to the ACO within 48 hours after contract award, the end of the protest period, or the resolution of any protests, whichever is later. Within five working days after the transfer, the PCO debriefs the ACO to complete the transition of responsibility.

Within 30 days of contract award, the ACO finalizes the contract management plan consistent with Chapter 42.5 of the DOE Acquisition Guide, and works closely with the Federal Project Director(s) to:

- Define the governance structure and communications protocol between the government and the contractor;
- Ensure the appropriate quality assurance surveillance plan, performance management planning, and risk management processes and resources are in place;
- Support joint government/contractor orientation, training and transition processes; and
- Perform contract administration and business functions required by law and policy

The ACO documents the governance structure and communications protocol with the following:

- Government/contractor organizational charts (with key subcontractor organization charts);
- Description of communication channels and functional counterparts matrix for government and contractor personnel at operational, functional and strategic levels;
- Delegations and decision-making authorities matrix;
- Protocol for award incentive fee reviews, decisions and dissemination (including reports to the EM-52 Director);
- Roles and responsibilities matrix for government and contractor personnel;
- Escalation/appeal process description;
- Daily/weekly/monthly meetings plan, deliverables review plan, reporting plan, information dissemination plan and charters;
- Configuration control board and change management system; and
- Commitment log and tracking system (for actions, individual accountabilities, outcomes, and resources)

2.1.4.2 Performance Management

DOE project management policies and procedures, as well as the DOE Acquisition Guide, govern activities during the contract management phase. The Federal Project Director ensures that the post-award IPT membership during this phase is comprised of field and headquarters personnel with the skills necessary for the successful execution of the project, inclusive of the performance-based acquisition (PBA) training necessary to administer a PBA contract. These include:

- Project management and scheduling;

- Contract oversight;
- Financial analysis, budgeting and cost estimating;
- Risk management;
- Technical areas; and
- Earned Value Management System (EVMS).

The model post-award IPT during the contract management phase includes:

- Post-award IPT lead: Federal Project Director (s) (field);
- ACO (field);
- Contracting Officer's Representative(s) (CORs) (field);
- Contract specialist (field);
- Property administrators (field);
- Procurement attorney (field);
- Cost and price Analyst (field and EMCBC);
- Engineers, scientists, analysts, and other technical specialists (field and headquarters); and
- Safety, workforce, and small business specialist (field and headquarters).

Contract-related activities that occur during the contract management phase include:

- Quality surveillance;
- Performance evaluation;
- EVMS reporting and certification;
- Timely provision of GFP and GFSI;
- Property administration;
- Inspection and acceptance of deliverables;
- Invoice review and payment;
- Contract change control process;
- Review of contractor's requests for equitable adjustments;
- Past performance reporting;
- Contract records management; and
- Contract closeout process.

The ACO is the primary interface with OPAM for the contract management phase business clearance and approval process. The ACO institutes an internal quality assurance review process and uses a quality assurance checklist for all procurement documentation submitted for business clearance. The EM-52 Director convenes a PDM during the contract management phase when business clearance and approval is not completed within ten working days of submission.

During the contract management phase, the EM-52 Director:

- Collects and consolidates information from field sites sufficient to develop and maintain an annual projection of known or contemplated post-award actions to be developed during each fiscal year;
- Coordinates with the OPAM on the specific post-award actions to be submitted for headquarters business clearance review and approval;
- Identifies actions to be submitted to the EM HCA for review; and
- Reviews and comments on documentation developed during the contract management phase, prior to submission to OPAM for business clearance and approval.

The contract management phase concludes with contract closeout. See Appendix E for a summary of contract management phase documentation.

2.2 (Planned) Acquisition Center Business Support System

The Acquisition Center provides a central repository of DOE and EM-specific acquisition processes, procedures, policies, templates, model clauses and other information organized according to the acquisition life-cycle workflow processes.

Each process has a set of procedures and the responsible party identified by title. Each procedure describes the activities, tasks, steps, decisions, and actions which are to be executed; their sequence; and the expected result. Each procedure has a link to any relevant policies, templates, guidance and other information. This integration of information promotes common practices and workflows and ensures that “best in class” processes for planning and executing EM acquisitions.

Each process has a “process owner” (assigned within EMCBC, a field office, EM-51, EM-52 or EM-53) and their contact information for questions and comments. EM-51 and EM-52 Directors serve as the configuration control board for the Acquisition Center processes and their documentation.

Each process owner maintains lists and contact information for subject matter experts (SMEs) within DOE. SMEs are individuals with a high level of expertise in performing a specialized acquisition procedure or function. SMEs provide peer assists, which are meetings between a project team and colleagues the team invites to assist with a significant issue.

3. ROLES AND RESPONSIBILITIES

The following summarizes roles and responsibilities for the Acquisition Center.

3.1 Field Office Manager

Field Office Managers have supervisory responsibility for contracting personnel. They may be designated roles related to contract administration at their sites, including serving as a senior COR.

Field Office Managers' roles and responsibilities are to:

- Establish IPTs for major acquisitions, when requested by the DAS-APM;
- Develop and obtain approval of SUMP (assisted by APMs);
- Monitor progress and approve changes to schedule milestones when necessary for acquisitions; and
- Serve as the Fee Determining Official (FDO) when designated by the HCA.

3.2 Federal Project Director

Federal project directors' roles and responsibilities are to:

- Develop and obtain approval for acquisition strategies in accordance with DOE Order 413.3A (assisted by the APM);
- Develop and obtain approval for acquisition plans, in accordance with the DOE Acquisition Guide;
- Review and concur on RFPs;
- Concur on the draft and final contract management plans;
- Ensure government personnel are assigned and available for effective management of the contract, inclusive of using PBA management concepts;
- Assess contractor performance and report past performance to the ACO; and
- Lead the IPT(s) during the contract management phase.

3.3 Procurement Director

Procurement Directors are the senior DOE acquisition professionals at a site. They manage field contracting staff and provide day-to-day oversight for contracting activities at their respective sites. The field contracting offices have warranted Contracting Officers to carry out their respective site acquisition activities for contracts below their delegated thresholds and serve as ACO for acquisitions at their field site.

Procurement Directors prepare and maintain a ten-year projection of all contemplated major acquisitions, including follow-on contracts and financial assistance actions to be funded from the EM budget, as well as other transactions (e.g., sales).

Procurement Directors' roles and responsibilities are to ensure:

- Timely reporting of planned and contemplated acquisition actions;
- Timely assignment of personnel to serve as ACOs, CORs, and lead and support contract management phase activities;
- Local documentation is accurately maintained in support of Contracting Officer warrants issued to EM field site contracting personnel;

- Data is entered as required into the FPDS-NG for contracts awarded by the field site inclusive of ensuring PBA contracts conform to regulatory guidance on PBA's before recording them as a PBA in the FPDS-NG;
- Documentation and information is submitted to the EMCBC and EM headquarters for centralized record-keeping and reporting, as required by the EM Head of Contracting Activity (HCA);
- Contract management plan is prepared, implemented and maintained for each acquisition managed by the field office as prescribed by the DOE Acquisition Guide;
- Provision of the PST for major acquisitions when SEBs are convened at the field office; and
- Coordination of advance review of procurement documents for EM HCA review and approval through EM-52 (in the contract management phase).

3.4 Administrative Contracting Officer

ACO roles and responsibilities are to:

- Appoint CORs;
- Analyze and negotiate contract modifications;
- Analyze and negotiate requests for equitable adjustment;
- Resolve or reject non-conforming supplies or services;
- Approve contractor requests for payments, to include final vouchers under cost reimbursement contracts, progress payments, performance-based payments, or commercial financing;
- Analyze, negotiate, and issue final decisions in response to claims;
- Resolve contract performance problems by gathering facts, determining remedies, and initiating remedial actions in order to find and provide a solution;
- Collect and report contractor past performance
- Monitor personal property control systems; and
- Ensure closeout of contracts follows proper procedures to ensure proper disposal, final payments, and receipt of appropriate documents and clearances.

3.5 Contracting Officer's Representative

COR roles and responsibilities are to:

- Develop purchase request (PR) work packages for transmittal to the ACO;
- Provide technical assistance when requested by the ACO;
- Prepare a COR work plan and establish and maintain appropriate record-keeping files;
- Assist and participate in contract management phase orientation and training;

- Recommend whether to provide government property to the contractor. Monitor the acquisition, control, and disposition of personal property by government personnel and by the contractor. Assess contractors for any loss, damage, or destruction of property;
- Perform monitoring actions as authorized by the ACO, using PBA management if applicable; report potential problems on performance and delivery requirements to the ACO; and report any noncompliance with other terms and conditions of the contract to the ACO;
- Perform inspection and acceptance actions in support of the ACO;
- Document contractor's performance in the past performance file and report in the past performance information retrieval system;
- Review and recommend contract modification requests. Prepare a technical evaluation to support whether a change is outside the scope of the contract. Assist the ACO with changes to the contract;
- Assist in administering stop work orders when requested by the ACO;
- Assist the ACO in analyzing a claim, recommend settlement position, and participate in the resolution process;
- Assist the ACO in determining whether to terminate a contract;
- Recommend to the ACO whether to authorize payment against an invoice in full, in part, or not at all;
- Perform individual delegated contract responsibilities by the ACO during contract closeout; and
- For a potential contract breach, provide the ACO sufficient evidence of a breach, suggest appropriate contract remedies, and assist in evaluating the contractor response.

3.6 Property Administrator

Property administrator roles and responsibilities are to:

- Ensure accountability of personal property in accordance with federal regulations and DOE directives;
- Review contractor inventory schedules;
- Manage disposition of property;
- Conduct property control system surveys and analyses;
- Provide reports on results of property control system surveys and analyses;
- Investigate and determine appropriate actions on property loss, damage, or destruction;
- Monitor ongoing administration of property; and
- Close out property aspects of contracts.

3.7 Deputy Assistant Secretary for Acquisition and Project Management (EM-50)

The EM DAS-APM (EM-50) provides day-to-day operational oversight and management of the EM Acquisition Center, and EM project management activities required by DOE Order 413.3. The DAS-APM serves as the single HCA for EM. EM-50 roles and responsibilities are to:

- Define and communicate EM-wide acquisition policies, procedures, and the use of acquisition resources at headquarters and field sites. A graphical illustration of the supervisory and acquisition authority flows is reflected in Appendix F;
- Initiate major acquisitions through the EM Chief Operations Officer and oversee EM acquisition activities during all life-cycle phases;
- Review and provide concurrence on CDs for project management, in accordance with DOE Order 413.3A;
- Monitor acquisition status and concur on changes to schedule milestones; and
- Develop increased management attention to and awareness of PBA requirements and the benefits of using comprehensive strategies for the EM program.

The DAS-APM was appointed as the Head of the Contracting Activity (HCA) for EM and those specific contracting offices under EM cognizance identified in the delegation from the DOE Procurement Executive. Delegation of procurement authority to the EM HCA will improve acquisition and project management at EM sites by establishing comprehensive strategies and aligning pre-award and post-award activities. Roles and responsibilities of the EM HCA include but are not limited to:

- Establish a single point of accountability dedicated to procurement process improvement;
- Improve both pre-award and post-award contracting activities through an emphasis afforded by single HCA responsibility for integration and oversight of procurement activities at all EM sites;
- Make commitments to acquisition process improvements that allow EM to become a higher performance acquisition organization with a common set of values and best practices across the organization;
- Designate FDOs;
- Perform non-delegable HCA responsibilities and delegate remaining HCA responsibilities to subordinate organizational elements as defined by the FAR and DOE regulations, policies, and procedures;
- Work with the DAS for Human Capital (EM-40) to assess and build competencies of the EM acquisition workforce; and
- Support the DOE OPAM Director in developing, implementing, and evaluating acquisition policies, programs, and services. Provide advice to the OPAM Director on EM mission, priorities, initiatives, and business needs

3.8 Office of Procurement Planning (EM-51) Director

The EM-51 Director is responsible for supporting the DAS-APM and leading activities during the acquisition initiation phase, the acquisition planning phase, and the source selection phase of major acquisitions. EM-51 roles and responsibilities are to:

- Ensure there is adequate long-range and strategic acquisition planning and preparation for the future execution of the EM program;
- Collect and consolidate information from field sites sufficient to develop and maintain a ten year projection of all contemplated acquisitions, including follow-on contracts, and financial assistance actions from the EM budget, as well as other transactions (e.g., sales);
- Ensure EM acquisitions are posted on the DOE acquisition forecast website;
- Establish, maintain and monitor schedules of current and projected acquisitions supporting EM projects;
- Provide acquisition strategy specialists to serve as APMs for major acquisitions;
- Provide procurement analysts to support acquisition planning and source selection activities;
- Develop a common set of pre-award acquisition practices;
- Review documentation prior to business clearance and approval and make recommendations to the EM HCA concerning procurement strategies, procurement packages, and procurement analyses;
- Monitor and coordinate EM socio-economic programs;
- Provide training programs for the EM Acquisition Center;
- Provide the PST and source selection facilities for major acquisitions when SEBs are convened at a headquarters facility; and
- Assist EM-53 with planning for the EVMS.

3.9 Office of Contract and Project Execution (EM-52) Director

The EM-52 Director is responsible for supporting the DAS-APM and leading activities during the contract management phase of major acquisitions. EM-52 roles and responsibilities are to:

- Review draft and final contract management plans prior to submission for business clearance;
- Review and concur on proposed contract modifications and extensions and requests for equitable adjustment prior to submission through the EM HCA to OPAM for business clearance;
- Review and concur on performance based incentives;
- Review award fees for trends and issues using the OPAM fee database and monthly reports from field offices on fees;

- Lead resolution of award fee issues involving interdependencies among activities that impact fees, e.g., transportation between field offices;
- Manage issue resolution related to GFSI;
- Serve as the interface between the field and the Office of Legacy Management for managing issue resolution related to contractor human resource management programs;
- Review requests for issuance of Contracting Officer warrants prior to submission to the EM HCA;
- Monitor contract management phase status with field Procurement Directors and identify issues requiring headquarters attention or intervention; and
- Support EM-53 in external integrated reviews and analyses of EVMS reports for their impact on contract management.

3.10 Office of Project Management Oversight (EM-53) Director

The EM-53 Director is responsible for supporting the DAS-APM during the acquisition planning and contract management phases. In addition, EM-53 supports the DAS-APM with project management in accordance with DOE Order 413.3. EM-53 roles and responsibilities are to:

- Serve as the secretary for the Environmental Management Acquisition Advisory Board for CDs that affect EM's contracts, and manage all aspects of EM implementation of DOE Order 413.3. This affects the acquisition initiation phase actions, the acquisition strategy and cost estimates required by CD 1 and CD 2;
- Plan for EVMS and conduct baseline analyses and validation reviews, including validation of EVMS; and
- Support activities of the Energy Systems Acquisition Advisory Board for major EM systems acquisitions and conduct contractor-related quarterly performance reviews.

3.11 EM Consolidated Business Center Contracting Director

EMCBC Contracting Director's roles and responsibilities are to:

- Provide the PCO, cost and price analyst, procurement attorney (if necessary) for all EM major acquisitions;
- Provide the Procurement Support Team (PST) and source selection facilities for major acquisitions when the SEB convenes at the EMCBC;
- Provide staff and technical support to field offices in developing a common set of business practices, basic procedures, file checklists and documentation templates as required by the DAS-APM;
- Ensure a central repository for documentation and information supports the issuance of Contracting Officer warrants;
- Prepare documentation for the EM HCA related to Contracting Officer appointments;

- Provide staff and resources to prepare consolidated acquisition-related reports required by the EM HCA based on input from field offices;
- Provide staff and resources to perform site audits of field property management systems as required by the EM HCA;
- Provide contracting support for EM-wide acquisitions including EM-wide IDIQ contracts; and
- Provide staff and resources to award and administer EM financial assistance agreements (date to be determined); and
- Support Director EM-51 as necessary in developing a common set of pre-award acquisition practices.

3.12 Acquisition Planning Manager

The APM plans, organizes, manages, and coordinates major acquisitions during the acquisition planning phase in accordance with regulations, DOE directives, and defined processes. APM roles and responsibilities are to:

- Manage the acquisition to achieve time and quality improvements against current and previous "norms;"
- Act to integrate the needs and resolve issues of key stakeholders, balancing priorities and implementing a course of action to achieve consensus by all parties;
- Work with the Field Office Manager to ensure that sufficient and adequate personnel and other resources are available in a timely manner to meet the needs of the acquisition;
- Ascertain the business clearance and approval requirements with EM-50, OPAM, and OGC in conjunction with the PCO and procurement attorney;
- Submit, coordinate and attain approval of acquisition planning documentation through EM-51, OPAM, and OGC in conjunction with the PCO and procurement attorney;
- Serve as the focal point with OPAM for negotiating and resolving comments and critical issues on business clearance review and approval;
- Ensure pre-award IPT members have the knowledge and skills to prepare the necessary documentation, including supporting the DAS-APM initiative to develop and implement PBA by ensuring pre-award IPT team members have adequate training on PBA concepts and techniques prior to developing PBA requirements or acquisition documents;
- Coach and develop the team and team members, setting goals and offering advice and guidance when needed, and acknowledging high performance and excellence when it occurs;
- Address issues of the team and individuals as soon as they arise, setting and agreeing on remedial action plans and using escalation procedures where necessary;
- Charter "red teams," as needed, to assess risks and develop proposed approaches for acquisitions;

- Serve as first choice for SEB Chair for EM major acquisitions. Alternatively serve as an ex officio advisor;
- Monitor and report on the schedule of all acquisition planning activities to ensure compliance;
- Report any events that affect the procurement schedule as soon as possible to obtain approval for revised milestone schedules as necessary from the Field Office Manager and concurrence from the DAS-APM;
- Coordinate advance review of procurement documents for business clearance through EM-51 and EM HCA for acquisition planning and source selection phases; and
- Recommend awards and recognition for the pre-award IPT based on contributions to pre-award milestones.

3.13 Procurement Analyst

Procurement analysts perform acquisition analyses and develop proposed solutions to facilitate effective and timely documentation for major acquisitions. Procurement analysts have access to headquarters and field personnel, as needed, to provide input to and resolve acquisition issues.

Procurement analyst roles and responsibilities are to:

- Support the standardization and documentation of EM contracting processes;
- Participate in the development of contracting policy and guidance;
- Perform internal reviews of preliminary draft documents for advice/consultation and facilitate the review process with the OPAM Field Liaison (i.e., "buddy");
- Collect and distill the necessary information on desired outcomes, requirements, costs, schedules, alternatives, and constraints from technical, operational, regulatory, legal, financial, contracting, and other SMEs, and provide advice and documentation on the business and acquisition approach;
- Work with the PCO to make recommendations regarding acquisition technical matters, such as the most appropriate procurement method, contractual arrangement, and incentive structure, to fulfill specific requirements;
- Identify the need for and develop unique EM acquisition and contracting procedures;
- Prepare input to the Acquisition Plan, RFP and source selection plan or rating plan for major acquisitions;
- Prepare acquisition risk assessments to ensure the successful accomplishment of program goals;
- Participate on SEBs and evaluation teams or act as an advisor providing guidance to ensure SEB activities are conducted consistent with the source selection plan or rating plan;
- Proactively work to resolve major acquisition issues with the headquarters oversight and business clearance offices, e.g., OPAM, OGC, etc.; and

- Develop and deliver acquisition training programs to headquarters and field officials and staff.

3.14 Procuring Contracting Officer

PCO roles and responsibilities are to:

- Serve as a member of the pre-award IPT and support the source selection phase for major acquisitions in accordance with FAR, DOE, and EM HCA directives;
- Provide contractual interpretation and direction to all personnel during the acquisition planning and source selection phases;
- Work proactively with the procurement attorney to resolve all legal and contracting issues in advance of business clearance and approval;
- Work proactively with the procurement analyst to resolve all contracting issues in advance of business clearance and approval;
- Assist the APM with negotiating and resolving comments and contracting issues with OPAM and OGC for business clearance review and approval;
- Ensure that the Acquisition Strategy is consistent with the SUMP, the DOE Acquisition Guide, EM HCA Directives, and DOE Order 413.3A;
- Concur with the identification and management of technical and business risk (i.e., risk management plan) and the acquisition strategy, prior to Office of Engineering and Construction Management review at CD 1, in accordance with DOE Order 413.3A;
- Prepare the Acquisition Plan, develop/review market research and analysis of available contract vehicles and make determinations regarding set aside for small businesses in accordance with FAR 19.501(d);
- Prepare, approve, and issue the RFP for major acquisitions. Prepare the source selection plan or rating plan;
- Establish procedures for, and conduct interaction with, industry and oversee all source selection-related exchanges with offerors, either in writing or verbally, during the acquisition planning and source selection phases;
- Support all aspects of the source selection as the PCO;
- Determine offeror compliance with RFP requirements at the initial determination of acceptability of offeror proposals;
- Provide direction concerning COI, non-disclosure, and procurement integrity;
- Approve and release amendments to the RFP;
- Make the determination of acceptability of proposal volumes as received;
- Review contractors' representations and certifications or other submittals for accuracy and completeness;
- Make the competitive range determination;
- Prepare negotiation memoranda;

- Conduct or control all discussions during source selection proceedings in accordance with the FAR;
- Determine whether additional cost/price information is appropriate;
- Ensure proposal evaluation is performed in accordance with FAR, DEAR and source selection plan;
- Obtain proposal analysis support including pricing assistance and audit assistance, as required;
- Maintain a contract file with documentation adequate to support a review of all decisions, fulfill contract file requirements, and supplement contractor debriefings;
- Assure the safeguarding of sensitive information used by the SEB and all personnel of the source selection organization;
- Obtain funding document;
- Prepare contract award notifications;
- Prepare the contract award document;
- Conduct debriefings with unsuccessful offerors in accordance with FAR 15.505;
- In accordance with FAR Part 33, consider all protests and seek legal advice, whether protests are submitted before or after award and whether filed directly with the agency or the Government Accountability Office (GAO); and
- Handle protests against award in negotiated acquisitions in accordance with FAR 15.507.

3.15 Contract Specialist

The contract specialist's role and responsibilities during acquisition planning and source selection phases are to:

- Support the PCO;
- Support acquisition planning by querying the government-wide database of contracts and other procurement instruments intended for use by multiple agencies for possible sources of supply;
- Review the PR and ensure that all requisite documents are included in the PR, e.g., funding document or funds availability statement including fund type and expiration date;
- Obtain approvals or waivers, e.g., Small and Disadvantaged Business Utilization Specialist;
- Prepare evaluation team appointment letters as required;
- Obtain signed certificates of non-disclosure and statements of financial interest from all individuals serving on boards;
- Prepare a synopsis in accordance with FAR 5.2, ensuring elements identified in FAR 5.207 are included;

- Obtain a wage determination from the Department of Labor, if applicable;
- Provide details of scheduled pre-award site visit(s), if necessary;
- Place the solicitation on the field office website, the FedBizOpps website, and the DOE Industry Interactive Procurement System and, in the future, the Strategic Integrated Procurement Enterprise System. Ensure the file can be downloaded;
- Serve as the focal point for inquiries from actual or prospective offerors after issuance of solicitation and before receipt of proposals;
- Maintain a record of all inquiries received, including the name of the individual making the inquiry, questions asked. Review all questions received;
- Assist in preparing and issuing amendment(s), as necessary, to respond to offeror inquiries;
- Review excluded parties list to determine if offeror is debarred or suspended;
- Maintain a record of oral presentations to document what the government relied upon in making the source selection decision;
- Conduct a review and evaluation of offeror's use of small businesses in accordance with the evaluation criteria and prepare a report that details the review and evaluation;
- Complete award checklist; and
- Maintain and file all contractual and supporting documents in accordance with FAR Subpart 4.8.

3.16 Cost and Price Analyst

Contract cost and price analyst roles and responsibilities are to:

- Work with project technical specialists to develop and review independent government cost estimates;
- Recommend cost and profit negotiation objectives. Conduct or participate in negotiations on cost and/or price issues;
- Evaluate proposals, contract changes, re-pricing actions, and final contract pricing;
- Develop and provide expert advice on policies and procedures relating to contract cost and price analyses for acquisitions; and
- Collect and analyze cost and pricing data across the EM complex to:
 - Evaluate the consistency of pricing approaches used by contractors who are performing at multiple EM sites.
 - Compare proposed contractor pricing projections with costs experienced at other sites for similar services.

3.17 Procurement Attorney

The procurement attorney provides independent legal review, including comments and evidence of their resolution, pertaining to documentation for major acquisitions as required by the FAR and DOE directives. Procurement attorney roles and responsibilities are to:

- Act as the primary contact with OGC and work proactively with OGC to resolve all legal issues on documentation in advance of business clearance and approval;
- Assist the APM and PCO with negotiating and resolving comments and legal issues for business clearance review and approval during the acquisition planning phase;
- Assist the SEB Chair with negotiating and resolving comments and legal issues for business clearance review and approval during the source selection phase;
- Review all evaluation documentation, including SEB reports and supplemental information;
- Review all clarification requests, deficiency reports, or omissions prior to submission to the offerors;
- Review the draft contract for legal sufficiency prior to award;
- Assist OGC to prepare, in conjunction with the PCO, the government's response to protest; and
- Review COI and non-disclosure statements submitted by all source selection organization members in conjunction with the PCO, and work with members of the source selection organization to resolve all COI problems and any breaches of source selection regulations.

3.18 Source Selection Official

SSO roles and responsibilities are to:

- Appoint the SEB chair;
- Review and concur on the RFP and approve the source selection plan;
- Establish ex officio advisors and a Source Selection Advisory Committee (SSAC) as necessary;
- Ensure, with the assistance of the PCO and procurement attorney, that the source selection organization avoids any COIs and the appearance thereof, as well as premature or unauthorized disclosure of source selection information;
- Ensure that the SEB applies the approved source selection plan in the evaluation of proposals; and
- Select the source whose proposal offers the best value to the government in accordance with the evaluation criteria.

3.19 Source Evaluation Board Chair

SEB Chair roles and responsibilities are to:

- Review the RFP and review and concur on the source selection plan;
- Provide oversight of all procedural and administrative aspects of the evaluation, including scheduling and conducting SEB meetings and evaluation team consensus sessions;
- Ensure that all SEB members and advisors are familiar with the acquisition goals and source selection procedures;
- Ensure that the SEB members understand the criteria for the evaluation of proposals, and maintain a consistent approach in the evaluation effort;
- Ensure that the source selection evaluation is conducted in accordance with the source selection plan and the solicitation;
- Provide briefings and consultations as the SSO and ex officio advisors may require;
- Require the assigned members' attendance at SEB meetings and assign the work necessary for accomplishing SEB responsibilities;
- Ensure any necessary procurement support at the source selection facility;
- Plan the security requirements for conducting the source selection at the designated facility, and supervise the implementation of these requirements when the SEB is convened;
- Appoint SEB members to the principal teams of the board;
- Determine the need for, and appoint, SEB advisors;
- Obtain any necessary clarification of criteria, factors, subfactors, and evaluation methods;
- Identify policy issues and major questions requiring decision by the SSO;
- Supervise the preparation of quality documentation to support evaluation findings, with major emphasis on clarity, logic, and succinctness;
- Formulate the agenda for SEB meetings;
- Transmit the appropriate SEB records to the PCO for the contract file;
- Maintain a roster of individuals who participated on the SEB and transmit the roster to the PCO for the contract file;
- Review the proposal evaluation and analysis documentation of the SEB members to resolve significant inconsistencies; and
- Keep OPAM, SSO and ex officio advisors informed of all significant issues and of the progress of the source selection.
- In conjunction with the APM, coordinate advance review of procurement documents for EM HCA review and business clearance review and approval through EM-51 (acquisition planning and source selection phases).

3.20 Ex Officio Advisors/Source Selection Advisory Committee

Ex officio advisors may advise the SSO and SEB, but do not have any authority or power to approve or reject. Ex officio advisors may recommend an award decision to the SSO. They may provide advice and comments to the SEB on acquisition processes, strengths and weaknesses of SEB reports. Ex officio advisors may attend oral presentations (either all or none) and provide the SEB with comments from their perspective as EM stakeholders. If needed the Director EM-51 may establish a Source Selection Advisory Committee, comprised of multiple ex officio advisors.

3.21 Evaluation Team Lead

SEBs have evaluation teams with team leads who are responsible for ensuring that team members accomplish the review of the sub-factors and factors assigned to the evaluation team and specific relevant sections of the proposals.

Evaluation team leader's roles and responsibilities are to:

- Ensure that evaluation personnel follow the prescribed evaluation process and evaluate offeror proposals in accordance with the rating plan and RFP;
- Provide team leadership in scheduling and executing evaluation team activities, including individual team member proposal reviews, team consensus sessions, and presentation of evaluation results to the SEB Chair;
- Provide team leadership during participation in the oral presentations or discussions;
- Review evaluation worksheets and narratives for completeness and consistency to substantiate the evaluation of each proposal;
- Develop a consensus evaluation report that identifies the strengths, weaknesses, risks, and deficiencies of each offeror's proposal. The team lead is responsible for the content of the consensus evaluation report;
- Ensure that any minority view is properly documented in the consensus evaluation report if consensus is not reached on significant strengths, weaknesses, risks, or deficiencies or on the rating of a subfactor or factor;
- Develop proposal clarification items and deficiency reports for use by the PCO in preparation for discussions with offerors;
- Make past performance inquiries on contracts provided by the offerors or identified by the SEB, if applicable;
- Maintain a record of all meetings, discussions, and written data pertinent to the evaluation, and ensure that appropriate measures are taken to support the retention of historical information;
- Assure the safeguarding of proposals and the confidentiality of all sensitive information used by the team; and
- Obtain any necessary clarification of criteria, factors, subfactors, and evaluation methods from the SEB Chair and PCO.

In addition to performing the duties of an evaluation team lead, the cost evaluation team (CET) lead, i.e., cost and price analyst, oversees all procedural and administrative aspects of the cost and price evaluation. The CET leader's roles and responsibilities include:

- Ensure that the CET uses the prescribed cost/price evaluation procedures and methods;
- Perform an assessment and recording the findings of the reasonableness and realism for each cost and price proposal, adjusting the offeror's cost based on the cost realism assessment and determining the most probable cost to the government; and
- Coordinate with the other evaluation team leads to confirm that the cost and price proposal reflects the technical work required by the RFP and aligns with the work proposed.

3.22 Procurement Support Team

The PST is responsible for the daily operation of the source selection facility and its activities (at EMCBC or the field office or headquarters facility where the SEB convenes.) The PST's roles and responsibilities are to:

- Provide administrative, logistics and secretarial support to the SEB evaluation teams;
- Maintain and operate the facility, equipment and SEB website (where the SEB is convened, i.e., at EMCBC, field office or headquarters facility);
- Ensure adherence to security procedures and practices;
- Provide source selection record keeping;
- Provide technical writing and text reviews;
- Number, distribute, collect, and properly dispose of proposal hard copies used during the evaluation;
- Provide configuration management and control;
- Provide oversight of and adherence to administrative procedures; and
- Provide support to the PCO and procurement attorney should a protest be filed.

4. ACQUISITION CENTER OVERSIGHT

This section describes the methods used to oversee the operation of the EM Acquisition Center.

4.1 Continuous Process Improvements

The EM HCA conducts periodic evaluations of EM headquarters and field activities' processes that support federal procurement systems, as well as major site and facility management contractors' business activities. The EM HCA uses several types of assessments, as described below. In addition, the DAS-APM sponsors "hot wash" exercises, which are performance reviews, particularly after project completion, e.g., contract award, major contract modification/equitable adjustment.

Based on these evaluations, the EM HCA establishes initiatives to ensure EM business systems adhere to DOE mission, vision and strategy statements, follow recognized "best in class" practices, and comply with applicable statutes, regulations, and contract terms and conditions

4.2 Balanced Scorecard

The EM HCA utilizes the DOE Balanced Scorecard for the federal procurement system as part of the process for conducting evaluations, setting and tracking performance measures, and establishing initiatives. Managers' self-assessment surveys and Procurement Directors' program reports provide the base information for the DOE Balanced Scorecard. The EMCBC prepares summary reports as required for the DAS-APM based on this information.

The EM HCA, in collaboration with the Field Office Managers and the EMCBC Director, annually revisits the DOE Balanced Scorecard to revise and/or establish initiatives for improvements to acquisition activities, including the Acquisition Center. The DAS-APM uses input from self-assessments, and procurement system measures, as a guide for formulating operating initiatives.

Once the EM acquisition organization's performance objectives and measures are established, they are ultimately flowed-down to individual performance plans and annual performance reviews as required.

Field Procurement Directors submit balanced scorecard reports, including copies of contractor reports, for the prior fiscal year to EMCBC, no later than ten working days prior to December 15 of each year. EMCBC forwards a consolidated package of reports to EM-52, no later than five working days prior to December 15th. The package contains individual balanced scorecard reports for each field office, as well as a summary balanced scorecard report for the EM contracting activity.

4.3 Advanced Acquisition Plan Reviews

The EM-51 and EM-52 Directors review the schedule of prospective acquisitions and post-award actions, and compare the results with budget information obtained from the DAS for Program, Planning and Budget (EM-30). For example, funding for target states of environmental clean-up may not be available at pre-determined levels. The objective of the review is to align projects, contracts and funding. The DAS-APM and EM-30 address apparent discrepancies and funding issues.

4.4 Monthly Pre-award Status Reviews

Each Field Office Manager provides the EM Assistant Secretary with a summary report of the pre-award status of major acquisitions at the monthly EM Pre-Award Review (EMPAR). The agenda includes:

- Milestones achieved or date they are expected to be achieved (by the Field Office Manager), as compared to the Acquisition Plan and schedule or as approved by the DAS-APM;

- Definition of open issues regarding the acquisition;
- Description of the action plan and next steps for resolving open issues; and
- Field Office Manager's assessment and overall conclusions (i.e., whether the pre-award activities are on plan, not on plan, or ahead of plan).

The EM Pre-Award Review (EMPAR) milestones are:

1. DAS-APM request to the Field Office Manager to commence acquisition planning activities and form the pre-award IPT
2. Pre-solicitation conference/industry meetings/requests for information (RFI) (when applicable)
3. Acquisition Plan;
4. Draft RFP (when applicable);
5. Synopsis of proposed contract action;
6. Final RFP;
7. Receipt of proposals;
8. Draft SEB report;
9. Pre-negotiation memorandum and plan;
10. Request of final proposal revisions;
11. Completion of final technical evaluation based on final proposal revisions;
12. Draft SEB report;
13. Contract award decision document and source selection;
14. Final contract documents prior to award; and
15. Contract award.

Milestones indicate the date of the business clearance and approval or completion of other review that is required by a DOE directive or policy.

EMPARG briefings cover the status of up to nine acquisitions at each meeting. In addition to the Field Office Manager and EM Assistant Secretary, each EMPARG involves the following:

- EM Principal Deputy Assistant Secretary;
- EM Chief Operations Officer;
- EM DAS-APM;
- EM Deputy Assistant Secretaries;
- OPAM Director;
- OGC representative;
- Field Procurement Directors;

- Federal project Director(s);
- EM-51 Director; and
- Key pre-award responsible parties, e.g., APM, selected IPT members, SEB chair.

4.5 Monthly Contract Management Status Reviews

On a monthly basis, each field Procurement Director provides EM-52 with summary data of the contract management status. EM-52 conducts a monthly meeting with the field Procurement Directors to discuss procurement actions, small business awards, contractor human resource management issues, personal property issues, financial assistance information, and other matters relevant to effective oversight of the Acquisition Center.

4.6 Annual Self-Assessments

To obtain candid feedback about the application and effectiveness of the Acquisition Center, headquarters, EMCBC, and field office personnel complete an annual self-assessment questionnaire based on the GAO's *Framework for Assessing the Acquisition Function at Federal Agencies* (GAO-05-218G). The GAO framework provides general guidance for evaluating an agency's acquisition function and identifying areas that need improvement. The annual assessments are not intended for use as performance measures.

The DAS-APM sends a self-assessment questionnaire to a cross-section of the acquisition workforce. The cross-section includes contract specialists, Contracting Officers, CORs, program managers, project staff, and others who participate in the acquisition process.

4.7 Operational and On-Site Reviews

At least once a year, the DAS-APM conducts one-on-one discussions on site with the EMCBC Director and each Field Office Manager. The focus of the discussions is to provide insight into the operational status of the acquisition function relative to predefined metrics. These discussions provide an opportunity for a solutions-oriented exchange of ideas around specific acquisition policy and procedure issues.

In addition to the periodic operational reviews, each on-site field office reviews are conducted every three years, and at the EMCBC on a rotating basis, unless compelling reasons necessitate selecting a particular organization on a more frequent basis. The focus of the on-site review is to provide insight into the capability of the organization's acquisition function to support the EM mission, and to determine compliance with applicable federal, DOE, and EM acquisition regulations, policies, and guiding principles.

EM-52 leads a matrix team to conduct the on-site review that includes headquarters, field site, and EMCBC personnel (other than personnel from the site reviewed). On-site reviews take approximately one week to accomplish. A written report is completed and reviewed with the field office's management before the review team leaves the site.

4.8 Award Fee Boards

Reserved for future development.

Directive Point of Contact:

Mindy Connolly, EM-51, 202-586-2171, Mindy.Connolly@hq.doe.gov

APPROVED:

J. E. Surash
EM Head of Contracting Activity



Signature



Date

APPENDIX A – ACQUISITION LIFE-CYCLE PHASES

Acquisition Life-cycle Phase	Project Management Processes (DOE O 413.3A)	Federal Budget Processes	Acquisition Processes	
			"As Is"	Acquisition Center
Acquisition Initiation	<ul style="list-style-type: none"> ➤ Identification of major acquisitions: - CD-0 approval of mission needs statement - Potential CD-1 approval of Acquisition Strategy that identifies major acquisition 	<ul style="list-style-type: none"> ➤ Budget request: - Project engineering and design (PED) funds - Operating funds - Project funds 	<ul style="list-style-type: none"> ➤ Designation of Source Selection Official (SSO) ➤ Appointment of Source Evaluation Board (SEB) Chair 	<ul style="list-style-type: none"> ➤ Procurement Director identifies candidate major acquisitions in ten year projection ➤ Joint field-EMCBC-HQ selection based on priorities and resources ➤ Acquisition Planning Manager (APM) appointment for selected acquisitions ➤ Acquisition Center Business Support System (AMBSS) provides standard guidance and templates

			Acquisition Processes	
Acquisition Planning	<ul style="list-style-type: none"> ➤ Acquisition strategy (CD-1) ➤ Follow-on contracts: <ul style="list-style-type: none"> - CD-2 performance baseline - CD-3 start of construction - CD-4 start of operations or project completion 	None	<ul style="list-style-type: none"> ➤ SEB Chair leads pre-award IPT <ul style="list-style-type: none"> - Site Utilization and Management Plan (SUMP) - Portions of Acquisition, Strategy (CD-1) - Acquisition Plan ➤ Field Contracting Officer as PCO ➤ Draft RFP for public release (as norm) 	<ul style="list-style-type: none"> ➤ APM assists Federal Project Director to lead pre-award integrated project team (IPT) <ul style="list-style-type: none"> - SUMP - Acquisition Strategy (CD-1) - Acquisition Plan ➤ EMCBC PCO and cost-price analyst ➤ Field contract specialist in pre-award IPT ➤ APAI meeting or waiver ➤ Procurement Strategy Panel (PSP) meeting(s) ➤ Draft RFP (if required) ➤ SSO designation and SEB chair appointment ➤ APM performs process and content quality reviews ➤ Procurement decision meeting (as necessary) ➤ IPT develops draft Contract Management Plan

			Acquisition Processes	
Source Selection	None	None	<ul style="list-style-type: none"> ➤ SEB chair continues ➤ Field Contracting Officer as PCO ➤ Field provides facilities and guidance 	<ul style="list-style-type: none"> ➤ APM as first choice for SEB chair or alternatively ex officio advisor ➤ EMCBC PCO and cost/price analyst ➤ Field or EMCBC provide facilities ➤ APM performs process and content quality reviews ➤ AMBSS provides standard guidance and templates
Contract Management	<ul style="list-style-type: none"> ➤ CD-2 performance baseline ➤ CD-3 start of construction ➤ CD-4 start of operations or project completion 	<ul style="list-style-type: none"> ➤ Budget request: <ul style="list-style-type: none"> - Project funds (CD-3) - Updated independent cost estimate (ICE) at CD-2 - Align project, contract and budget if target cost exceeds budget - Contract modifications 	<ul style="list-style-type: none"> ➤ Field Contracting Officer continues as ACO ➤ Contract Mgt. plan per DOE Acquisition Guide ➤ Contract modifications 	<ul style="list-style-type: none"> ➤ Delegation from EMCBC PCO to ACO at field office ➤ Contract management plan per DOE Acquisition Guide ➤ Partnership for Public Service Acquisition Innovation tools for contract management ➤ Contract modifications ➤ AMBSS provides standard guidance and templates

APPENDIX B – ACQUISITION INITIATION PHASE DOCUMENTATION

Acquisition Initiation Phase Documentation	Authority/Guidance	Schedule	Document Owner	Exit Criteria
<p>Ten-year projection:</p> <ul style="list-style-type: none"> ➤ Contemplated new acquisitions ➤ Follow-on contracts ➤ Financial assistance actions ➤ Other transactions (sales) 	FAR 7.104	<ul style="list-style-type: none"> ➤ Starting with FY09, submitted to EM-51 annually ➤ Update based on new information submitted as soon as possible to EM-51 	Field Procurement Director	<ul style="list-style-type: none"> ➤ Deputy Assistant Secretary – Acquisition and Project Management (DAS-APM) review ➤ EM-51 review ➤ Field Office Manager approval
Memorandum to establish integrated project team (IPT) and commence acquisition planning	FAR 7.104	<ul style="list-style-type: none"> ➤ Prior to 30 days of Critical Decision (CD) 0 ➤ For follow-on contract, 36 months prior to expiration of predecessor contract 	EM-51 Director	<ul style="list-style-type: none"> ➤ Environmental Management (EM) Chief Operations Officer (EM-3) concurrence ➤ DAS-APM review

APPENDIX C – ACQUISITION PLANNING PHASE DOCUMENTATION

Acquisition Planning Phase Documentation	Authority/Guidance	Schedule	Document Owner	Exit Criteria
Site Utilization and Management Plan (SUMP)	DOE Acquisition Letter 2006-11	Submitted 24-30 months prior to submission of Acquisition Plan for approval	Operations/field manager (assisted by Acquisition Planning Manager (APM))	<ul style="list-style-type: none"> ➤ Deputy Secretary approval ➤ Environmental Management (EM) Assistant Secretary approval ➤ Support offices and other program sponsors concurrence ➤ Office of Procurement and Assistance Management (OPAM) concurrence ➤ EM-51 review
Acquisition Strategy	<ul style="list-style-type: none"> ➤ DOE Order 413.3A ➤ DOE Acquisition Guide 71.1 	<ul style="list-style-type: none"> ➤ DOE Order 413.3A Critical Decision-1 ➤ Submitted prior to submission of draft RFP 	Federal Project Director (assisted by APM)	<ul style="list-style-type: none"> ➤ EM Acquisition Advisory Board (EMAAB)/ Energy Systems Acquisition Advisory Board (ESAAB) decision memorandum ➤ EM Assistant Secretary approval ➤ OPAM concurrence ➤ EM-51 review ➤ EM-53 review
Acquisition Plan	<ul style="list-style-type: none"> ➤ FAR 7.105 ➤ DOE Acquisition Guide 7.1 	Submitted prior to submission of draft or final Request for Proposal (RFP)	For EM acquisitions using the Acquisition Center approach, the APM is responsible for the Acquisition Plan	<ul style="list-style-type: none"> ➤ OPAM approval ➤ EM-51 review ➤ Pre-award IPT procurement attorney review

Acquisition Planning Phase Documentation	Authority/ Guidance	Schedule	Document Owner	Exit Criteria
<ul style="list-style-type: none"> ➤ RFP ➤ Optional draft RFP for public release 	DOE Acquisition Guide 71.1	Submitted after approval of Acquisition Plan	PCO (assisted by pre-award IPT)	<ul style="list-style-type: none"> ➤ OPAM approval ➤ EM-51 review ➤ Pre-award IPT procurement attorney review ➤ Federal Project Director review
Synopsis of issues in draft contract management plan	DOE Acquisition Guide 71.1	Submitted with RFP	PCO	<ul style="list-style-type: none"> ➤ OPAM approval ➤ EM-52 review ➤ Pre-award IPT procurement attorney review ➤ Federal Project Director review
SSO Appointment Recommendation	Acquisition Letter 2000-09	Prior to RFP release	EM-51 Director	<ul style="list-style-type: none"> ➤ OPAM approval
SEB Chair and Members Appointment Letters	FAR 15.303(b)(1)	Prior to RFP release	EM-51 Director	<ul style="list-style-type: none"> ➤ SSO Review and Approval
Congressional Notification	DOE Acquisition Guide 5.1	72 hours prior to issuing a draft or final RFP	PCO	<ul style="list-style-type: none"> ➤ Office of Congressional and Intergovernmental Affairs provides notification ➤ EM-51 review
Source Selection Plan	DOE Acquisition Guide 71.1	Submitted with draft RFP	PCO	<ul style="list-style-type: none"> ➤ OPAM approval ➤ EM-51 review ➤ Pre-award IPT procurement attorney review ➤ SSO approval ➤ SEB review

APPENDIX D – SOURCE SELECTION PHASE DOCUMENTATION

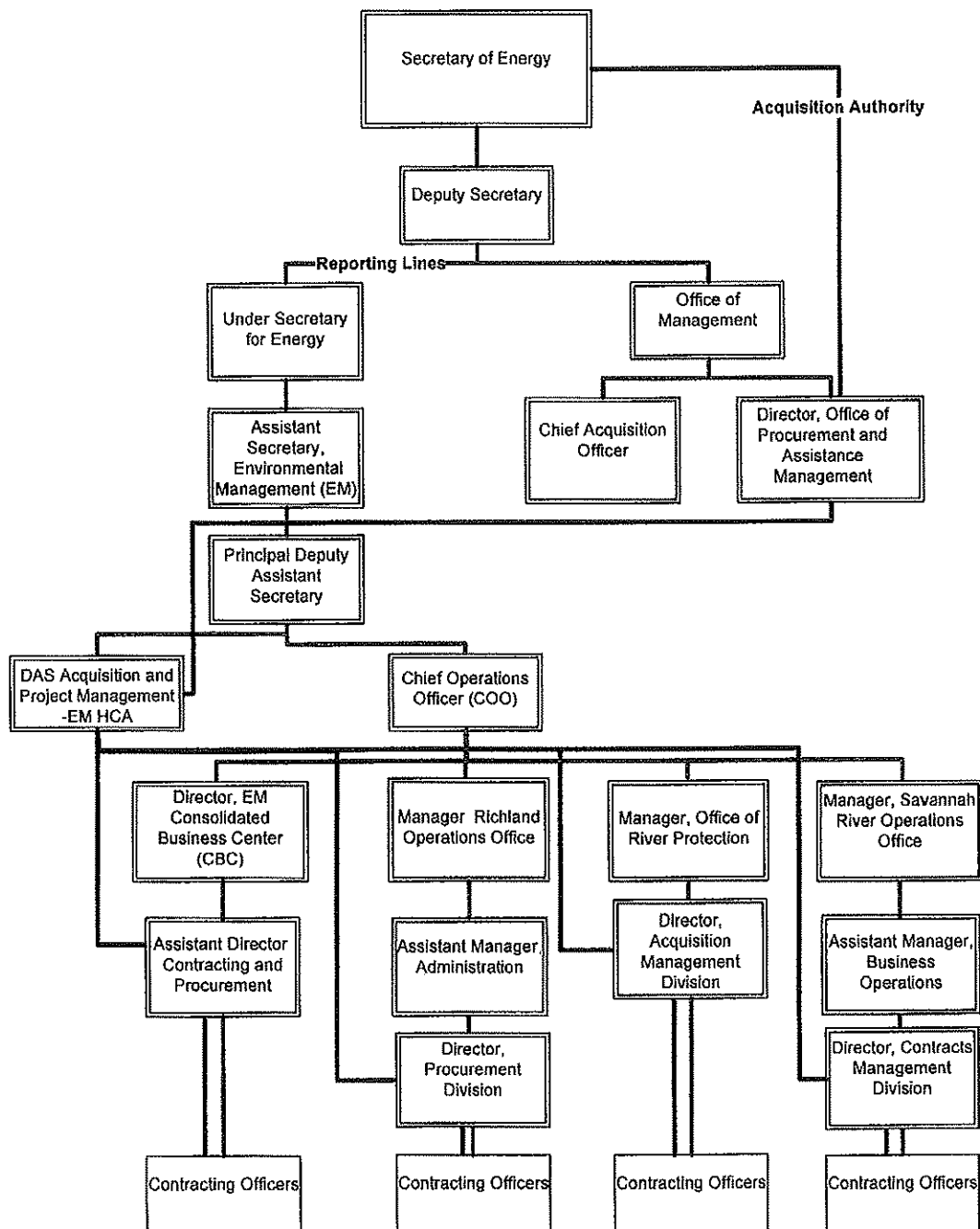
Source Selection Phase Documentation	Authority/Guidance	Schedule	Document Owner	Exit Criteria
Initial Source Evaluation Board (SEB) report ➤ Cost report ➤ Technical evaluation report ➤ Cost realism report (if cost reimbursable) ➤ Competitive range determination ➤ Discussion questions (if required)	DOE Acquisition Guide 71.1	Prior to the start of discussions (if required) and briefing of the Source Selection Official (SSO)	SEB Chair	➤ Office of Procurement and Assistance Management (OPAM) review ➤ EM-51 review ➤ Pre-award integrated project team (IPT) procurement attorney review ➤ Procuring Contracting Officer (PCO) review
Pre-negotiation memorandum	DOE Acquisition Guide 71.1	Prior to the start of formal negotiations and briefing of the SSO	PCO	➤ OPAM review ➤ EM-51 review ➤ Pre-award IPT procurement attorney review
Final SEB report ➤ Cost report ➤ Technical evaluation report ➤ Cost realism report (if cost reimbursable) ➤ Discussion chronology report (if required)	DOE Acquisition Guide 71.1	Prior to briefing to SSO	SEB chair	➤ OPAM review ➤ EM-51 review ➤ Pre-award IPT procurement attorney review ➤ PCO review
Post-negotiation memorandum (if required)	DOE Acquisition Guide 71.1	After completion of discussions (if required)	PCO	➤ OPAM review ➤ EM-51 review ➤ Pre-award IPT procurement attorney review

Source Selection Phase Documentation	Authority/ Guidance	Schedule	Document Owner	Exit Criteria
SSO contract award decision document	DOE Acquisition Guide 71.1	Prior to award	SSO	<ul style="list-style-type: none"> ➤ OPAM review ➤ EM-51 review ➤ Pre-award IPT procurement attorney review
SSO briefing charts	DOE Acquisition Guide 71.1	Prior to SSO briefing	SEB Chair	<ul style="list-style-type: none"> ➤ OPAM review ➤ EM-51 review ➤ Pre-award IPT procurement attorney review
Award announcement	DOE Acquisition Guide	Prior to award	PCO	<ul style="list-style-type: none"> ➤ OPAM review ➤ EM-51 review ➤ Pre-award IPT procurement attorney review
<ul style="list-style-type: none"> ➤ Congressional notification of pending award ➤ Anticipated questions and answers ➤ Talking points ➤ Draft press release 	<ul style="list-style-type: none"> ➤ DOE Acquisition Guide 5.1 ➤ DOE Under-secretary memo dated January 20, 2006 	72 hours prior to award	PCO	EM-51 review

APPENDIX E – CONTRACT MANAGEMENT PHASE DOCUMENTATION

Contract Management Phase Documentation	Guidance/Authority	Schedule	Document Owner	Exit Criteria
Contract Management Plan	DOE Acquisition Guide 71.1	Submitted within 30 days after award	ACO	<ul style="list-style-type: none"> ➤ Office of Procurement and Assistance Management (OPAM) approval ➤ EM-52 review ➤ Post-award IPT procurement attorney review ➤ Federal project director review
<ul style="list-style-type: none"> ➤ Contract modification ➤ Request for equitable adjustment ➤ Pre-negotiation memorandum 	DOE Acquisition Guide 71.1	Prior to submission to OPAM	ACO	<ul style="list-style-type: none"> ➤ OPAM approval ➤ EM-52 review ➤ Post-award IPT procurement attorney review
Award Fee Plan	DOE Acquisition Guide 71.1	Prior to negotiations	ACO	<ul style="list-style-type: none"> ➤ OPAM approval ➤ EM-52 review ➤ Post-award IPT procurement attorney review
Documentation supporting the award fee decision	Award Fee Plan	Prior to submission to Fee Determining Official	Award Fee Board Chair	EM-52 review
Property management report	DOE Order 580.1, DOE Personal Property Management Program	Annual	Property Administrator	EM Consolidated Business Center (EMCBC) review
Contract close-out checklist and letter	<ul style="list-style-type: none"> ➤ FAR 4 804-1 ➤ DEAR 904.804-1 ➤ DOE Acquisition Guide 42.4 	Prior to close-out	ACO	EM-52 review

APPENDIX F – SUPERVISORY AND ACQUISITION AUTHORITY FLOW



Legend: Blue lines indicate supervisory flow; red lines illustrate the flow of acquisition authority.

APPENDIX G: ACRONYM LIST

Table 1

ACO	Administrative Contracting Officer
AMBSS	Acquisition Machine Business Support System
APAT	Advanced Planning Acquisition Team
APM	Acquisition Planning Manager
CD	Critical Decision
CEI	Cost Evaluation Team
COI	Conflict of Interest
COR	Contracting Officer's Representative
DAS-APM	Deputy Assistant Secretary for Acquisition and Project Management
DCAA	Defense Contract Audit Agency
DEAR	Department of Energy Acquisition Regulation
DOE	Department of Energy
EM	Office of Environmental Management
EM-51	Office of Procurement Planning
EM-52	Office of Contract and Project Execution
EM-53	Office of Project Management Oversight
EMCBC	EM Consolidated Business Center
EMPAR	Environmental Management Pre-Award Review
ESAAB	Energy Systems Acquisition Advisory Board
EVMS	Earned Value Management System
FAR	Federal Acquisition Regulation
FDO	Fee Determining Official
FPDS-NG	Federal Procurement Data System-Next Generation
GAO	Government Accountability Office
GFSI	Government Furnished Services and Items
HCA	Head of Contracting Activity
IDIQ	Indefinite Delivery Indefinite Quantity
IPT	Integrated Project Team
OGC	Office of General Counsel
OPAM	Office of Procurement and Assistance Management
PBA	Performance-Based Acquisition
PCO	Procuring Contracting Officer
PDM	Procurement Decision Meeting
PED	Project Engineering and Design
PSP	Procurement Strategy Panel
PSI	Procurement Support Team
RFI	Request for Information
RFP	Request for Proposal
SEB	Source Evaluation Board, appointed by the SSO
SME	Subject Matter Expert
SSAC	Source Selection Advisory Committee
SSO	Source Selection Official
SUMP	Site Utilization and Management Plan